

DATE OF DEPOSIT: 10/18/2001

10-19-01

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PTO/SB/05 (03-01)
Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 049450-00170
First Inventor Aleem Gangjee
Title Multiple Acting Anti-Angiogenic and Cytotoxic Compounds and Methods for Using the Same
Express Mail Label No. EL701525264US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 38]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings *if filed*
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 4]
5. Oath or Declaration [Total Pages]
 - a. ☐ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other: _____

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: _____ / _____
Prior application information: Examiner _____ Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label 003705 or ☐ Correspondence address below
(Insert Customer No. or Attach bar code label here)

Name _____
Address _____
City _____ State _____ Zip Code _____
Country _____ Telephone _____ Fax _____

Name (Print/Type) Debra Z. Anderson Registration No. (Attorney/Agent) 44,506
Signature *Debra Z. Anderson* Date 10/18/2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

10/18/01
J0951 U.S. PTO

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FEE TRANSMITTAL

for FY 2001

Patent fees are subject to annual revision.

C m p l t i f K n o w n

Application Number	
Filing Date	
First Named Inventor	Aleem Gangjee
Examiner Name	
Group Art Unit	
Attorney Docket No.	049450-00170

TOTAL AMOUNT OF PAYMENT	(\$)	622.00
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METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number	02-2556
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Deposit Account Name	Eckert Seamans Cherin & Mellott
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- ☒
- Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

- ☒ Applicant claims small entity status.
See 37 CFR 1.27

2. ☐ **Payment Enclosed:**
☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

	Large Entity	Small Entity
1. Revenue Recognition	Revenue is recognized when the performance obligation is satisfied, which is when control of the goods or services is transferred to the customer.	Revenue is recognized when the performance obligation is satisfied, which is when control of the goods or services is transferred to the customer.
2. Cost of Sales	Cost of sales is recognized when the revenue is recognized, and it is measured at the cost incurred to produce the goods or services.	Cost of sales is recognized when the revenue is recognized, and it is measured at the cost incurred to produce the goods or services.
3. Impairment of Intangible Assets	Intangible assets are tested for impairment annually, or more frequently if there are indicators of impairment. If an impairment loss is identified, it is recognized in the income statement.	Intangible assets are tested for impairment annually, or more frequently if there are indicators of impairment. If an impairment loss is identified, it is recognized in the income statement.
4. Goodwill Impairment	Goodwill is tested for impairment annually, or more frequently if there are indicators of impairment. If an impairment loss is identified, it is recognized in the income statement.	Goodwill is tested for impairment annually, or more frequently if there are indicators of impairment. If an impairment loss is identified, it is recognized in the income statement.
5. Lease Accounting	Leases are classified as either finance leases or operating leases. Finance leases are accounted for as if the lessee has purchased the asset, while operating leases are accounted for as if the lessee is renting the asset.	Leases are classified as either finance leases or operating leases. Finance leases are accounted for as if the lessee has purchased the asset, while operating leases are accounted for as if the lessee is renting the asset.
6. Share-Based Compensation	Share-based compensation is measured at the fair value of the equity instrument at the time of the grant, and it is recognized as an expense over the vesting period.	Share-based compensation is measured at the fair value of the equity instrument at the time of the grant, and it is recognized as an expense over the vesting period.
7. Financial Instruments	Financial instruments are classified as either debt or equity, and they are measured at fair value. Changes in fair value are recognized in the income statement.	Financial instruments are classified as either debt or equity, and they are measured at fair value. Changes in fair value are recognized in the income statement.
8. Provisions and Contingent Liabilities	Provisions and contingent liabilities are recognized when there is a present obligation, a probable outflow of resources, and a reliable estimate of the amount of the obligation.	Provisions and contingent liabilities are recognized when there is a present obligation, a probable outflow of resources, and a reliable estimate of the amount of the obligation.
9. Income Taxes	Income taxes are recognized as an expense or income, and they are measured at the best estimate of the amount of taxes payable or receivable.	Income taxes are recognized as an expense or income, and they are measured at the best estimate of the amount of taxes payable or receivable.
10. Other	Other accounting standards and practices that apply to large entities.	Other accounting standards and practices that apply to small entities.

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	370.00
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1)	(\$)	370.00
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2. EXTRA CLAIM FEES

2. EXTRA CLAIMS/FEE		Fee from below		Fee Paid
Total Claims	34	-20** =	14	9 = 126.00
Independent Claims	6	-3** =	3	42 = 126.00
Multiple Dependent				

	Large Entity	Small Entity
1. Revenue Recognition	Revenue is recognized when the performance obligation is satisfied, which is when control of the goods or services is transferred to the customer.	Revenue is recognized when the performance obligation is satisfied, which is when control of the goods or services is transferred to the customer.
2. Cost of Sales	Cost of sales is recognized when the revenue is recognized, and it is measured at the cost incurred to produce the goods or services.	Cost of sales is recognized when the revenue is recognized, and it is measured at the cost incurred to produce the goods or services.
3. Impairment of Financial Assets	Impairment of financial assets is recognized when there is a significant increase in the credit risk of the asset, and the impairment is measured at the difference between the carrying amount and the present value of the expected cash flows.	Impairment of financial assets is recognized when there is a significant increase in the credit risk of the asset, and the impairment is measured at the difference between the carrying amount and the present value of the expected cash flows.
4. Impairment of Non-Financial Assets	Impairment of non-financial assets is recognized when the carrying amount of the asset exceeds its recoverable amount, and the impairment is measured at the difference between the carrying amount and the recoverable amount.	Impairment of non-financial assets is recognized when the carrying amount of the asset exceeds its recoverable amount, and the impairment is measured at the difference between the carrying amount and the recoverable amount.
5. Provisions	Provisions are recognized when there is a present obligation as a result of a past event, and the obligation is measured at the best estimate of the amount required to settle the obligation.	Provisions are recognized when there is a present obligation as a result of a past event, and the obligation is measured at the best estimate of the amount required to settle the obligation.
6. Financial Instruments	Financial instruments are recognized when the entity has entered into a contract that gives rise to a financial asset or financial liability, and they are measured at fair value.	Financial instruments are recognized when the entity has entered into a contract that gives rise to a financial asset or financial liability, and they are measured at fair value.
7. Share-based Payments	Share-based payments are recognized when the entity has entered into a contract that gives rise to a financial asset or financial liability, and they are measured at fair value.	Share-based payments are recognized when the entity has entered into a contract that gives rise to a financial asset or financial liability, and they are measured at fair value.
8. Leases	Leases are recognized when the entity has entered into a contract that gives rise to a financial asset or financial liability, and they are measured at fair value.	Leases are recognized when the entity has entered into a contract that gives rise to a financial asset or financial liability, and they are measured at fair value.
9. Income Tax	Income tax is recognized when the entity has entered into a contract that gives rise to a financial asset or financial liability, and it is measured at fair value.	Income tax is recognized when the entity has entered into a contract that gives rise to a financial asset or financial liability, and it is measured at fair value.
10. Other	Other items are recognized when the entity has entered into a contract that gives rise to a financial asset or financial liability, and they are measured at fair value.	Other items are recognized when the entity has entered into a contract that gives rise to a financial asset or financial liability, and they are measured at fair value.

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)	(\$)	252.00
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FEE CALCULATION (continued)

3. ADDITIONAL FEES

ADDITIONAL FEES				
	Large Entity		Small Entity	
Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
				Fee Paid
105	130	205	65	Surcharge - late filing fee or oath
127	50	227	25	Surcharge - late provisional filing fee or cover sheet
139	130	139	130	Non-English specification
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination
112	920*	112	920*	Requesting publication of SIR prior to Examiner action
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action
115	110	215	55	Extension for reply within first month
116	390	216	195	Extension for reply within second month
117	890	217	445	Extension for reply within third month
118	1,390	218	695	Extension for reply within fourth month
128	1,890	228	945	Extension for reply within fifth month
119	310	219	155	Notice of Appeal
120	310	220	155	Filing a brief in support of an appeal
121	270	221	135	Request for oral hearing
138	1,510	138	1,510	Petition to institute a public use proceeding
140	110	240	55	Petition to revive - unavoidable
141	1,240	241	620	Petition to revive - unintentional
142	1,240	242	620	Utility issue fee (or reissue)
143	440	243	220	Design issue fee
144	600	244	300	Plant issue fee
122	130	122	130	Petitions to the Commissioner
123	130	123	130	Petitions related to provisional applications
126	180	126	180	Submission of Information Disclosure Stmt
581	40	581	40	Recording each patent assignment per property (times number of properties)
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))
179	710	279	355	Request for Continued Examination (RCE)
169	900	169	900	Request for expedited examination of a design application
Other fee (specify)				

*Reduced by Basic Filing Fee Paid	SUBTOTAL (3)	(\$)	0.00
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SUBMITTED BY

Name (Print/Type)	Debra Z Anderson	Registration No. (Attorney/Agent)	44,506	Telephone	412.566.1910
Signature				Date	10/18/2001

Complete (if applicable)

Telephone	412.566.1910
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Date	10/18/2001
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**NONPUBLICATION REQUEST
UNDER
35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor

Aleem Gangjee

Title

Multiple Acting Anti-Angiogenic and Cytotoxic
Compounds and Methods for Using the Same

Atty Docket Number

049450-00170

I hereby certify that the invention disclosed in the attached application **has not and will not** be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing.

I hereby request that the attached application not be published under 35 U.S.C. 122(b).

10/18/2001
Date


Signature

Debra Z. Anderson, Reg. No. 44,506

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.